



104 – BUSINESS CONTINUITY AND RECOVERY PLAN

Effective Date: 10/01/04, 10/01/2012

Revision Date: 01/01/11, 09/27/12

Staff responsible for policy: DHCM Administration

I. Purpose

This policy applies to Acute care, Behavioral Health Services (BHS), Arizona Long Term Care System (ALTCS), Children's Rehabilitation Services (CRS), Comprehensive Medical and Dental Plan (CMDP) and Division of Developmental Disabilities (DDD) Contractors; (hereinafter referred to as Contractors).

AHCCCS requires in contract that each of its Contractors have a Business Continuity and Recovery Plan. The purpose of this policy is to outline the required components of the Plan and also suggested checklists and plan testing methods.

AHCCCS is mandated to provide health care benefits to its enrollees. It does so through contracts with Acute and ALTCS Contractors, the CRS Contractor, and ADHS/BHS and through a network of providers for fee-for-service enrollees. In order to provide benefits, the Contractor must be able to recover from any disruption in services as quickly as possible. This recovery can be accomplished by the development of a Business Continuity and Recovery Plan that contains strategies for recovery. The Business Continuity and Recovery Plan is part of the Federal Government's Continuity of Operations requirements.

II. Definition

**Continuity of Operations
(COOP)**

An effort within the individual executive departments and agencies to ensure that essential functions continue to be performed during a wide range of emergencies.

Contractor

Refers to Acute Care and Long Term Care (ALTCS) Contractors, Arizona Department of Health Services/Behavioral Health Services (ADHS/BHS), Children's Rehabilitation Services (CRS), and any other entity that has a contract or Intergovernmental Agreement with AHCCCS to provide covered services.



III. Policy

- A. Each Contractor shall have a Business Continuity and Recovery Plan.
- B. The Business Continuity and Recovery Plan shall be reviewed at least annually and updated as needed by the Contractor.
- C. The Contractor shall ensure that its staff is trained and familiar with the Plan.
- D. The Plan should be specific to the Contractor's operations in Arizona and reference local resources. Generic Plans which do not reference operations in Arizona and the Contractor's relationship to AHCCCS are not appropriate.
- E. The Plan shall contain a listing of key customer priorities, key factors that could cause disruption, and what timelines Contractors will be able to resume critical customer services. Examples of these priorities are: Providers receipt of prior authorization approvals and denials, members receiving transportation, timely claims payments, etc.
- F. The Plan shall contain specific provisions for recovery of key customer priorities.
- G. The Plan shall contain specific timelines for resumption of services. The timelines should note the percentage of recovery at certain hours, and key actions required to meet those timelines. An example of this would be: Telephone service restored to prior authorization unit within four hours, to Member Services within 24 hours, to all phones in 24 hours, etc.
- H. The Plan shall contain, at a minimum, planning and training for:
 - Electronic/telephonic failure at the Contractor's main place of business.
 - Complete loss of use of the main site and any satellite sites.
 - Loss of primary computer system/records, or networks.
 - How the Contractor will communicate with AHCCCS during a business disruption. The name and phone number of a specific contact in the Division of Health Care Management is preferred. The Plan should direct the Contractor staff to contact AHCCCS Security at 602-417-4888 in the event of a disruption outside of normal business hours.
- I. The Plan should include provisions for periodic testing, at least annually. Results of the tests shall be documented.



- J. All Contractor Plans shall be subject to review and approval by AHCCCS Administration. A summary of the Plan, with emphasis on the components from Paragraph H of this section, shall be submitted to the Division of Health Care Management 15 days after the start of the contract year and annually thereafter. The summary shall be no longer than five pages and include timelines for recovery.
- K. Each Contractor shall designate a staff person as Business Continuity Planning Coordinator and furnish AHCCCS with that contact information.

IV. References

The Federal Emergency Management Agency (FEMA) has a website which contains additional information on Business Continuity Planning, including a checklist for reviewing a Plan. AHCCCS encourages the Contractor to use relevant parts of this checklist in the evaluation and testing of its own Business Continuity Plan. The website is located at <http://www.fema.gov>.

V. Authority

AHCCCS Acute Care, DES/CMDP, ALTCS, ADHS/BHS, CRS, and DES/DDD Contracts require Contractors to have a Business Continuity and Recovery Plan.